

Docket No.: 42390P8112

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON

Application No.: 09/540,611

Filed: March 31, 2000

For: **MANAGING ACESSES IN A
PROCESSOR FOR ISOLATED
EXECUTION**

Art Group: 2782

Examiner: Unassigned

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MAY 11 2004

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

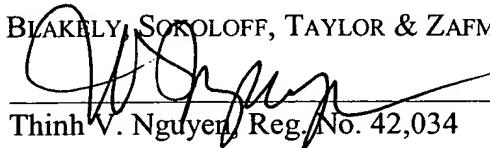
In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

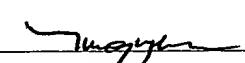
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP


Thinh V. Nguyen, Reg. No. 42,034

Date: January 26, 2004

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Tu T. Nguyen

01-26-04

Date

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	09/540,611
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2782
		Examiner Name	Unassigned
Total Number of Pages in This Submission	6	Attorney Docket Number	42390P8112

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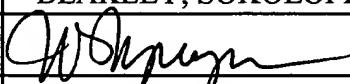
MAY 11 2004

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ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
		Cited References & Change of Correspondence Address
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Thinh V. Nguyen, Reg. No. 42,034 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	January 26, 2004

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Tu T. Nguyen		
Signature		Date	January 26, 2004

Based on PTO/SB/21 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 09/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number	09/540,611
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Unassigned
Group/Art Unit	2782
Attorney Docket No.	42390P8112

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MAY 11 2004

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METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)		(\$)			

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			20**	=	
			3	=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)		(\$)			

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

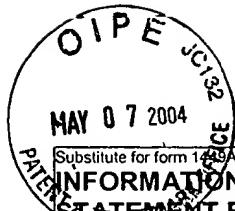
Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge - late filing fee or oath
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet.
2053	130	2053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for ex parte reexamination
1804	920*	1804	920* Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	420	2252	210 Extension for reply within second month
1253	950	2253	475 Extension for reply within third month
1254	1,480	2254	740 Extension for reply within fourth month
1255	1,210	2255	605 Extension for reply within fifth month
1404	330	2401	165 Notice of Appeal
1402	330	2402	165 Filing a brief in support of an appeal
1403	290	2403	145 Request for oral hearing
1451	1,510	2451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive - unavoidable
1453	1,330	2453	665 Petition to revive - unintentional
1501	1,330	2501	665 Utility issue fee (or reissue)
1502	480	2502	240 Design issue fee
1503	640	2503	320 Plant issue fee
1460	130	2460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	770	1809	385 Filing a submission after final rejection (37 CFR § 1.129(a))
1810	770	2810	385 For each additional invention to be examined (37 CFR § 1.129(b))
1801	770	2801	385 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			
SUBTOTAL (3)		(\$)	

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

Complete (if applicable)

Name (Print/Type)	Thinh V. Nguyen	Registration No. (Attorney/Agent)	42,034	Telephone	(714) 557-3800
Signature				Date	01/26/04



MAY 07 2004

PTO/SB/08A(10-01)
Approved for use through 10/31/2002. GMB 651-0031
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

Sheet 1 of 1	Application Number	09/540611
	Filing Date	March 31, 2000
	First Name Inventor	Ellison, Carl
	Group Art Unit	Unknown
	Examiner Name	Unknown

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MAY 11 2004

Attorney Docket No: 42P08112

Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	JP-JP2000076139	03/14/2000	Tanno, Masaaki , et al.			
	WO-WO0175564	10/11/2002	Herbert, Howard C., et al.			
	WO-WO02086684	10/31/2002	Proudler, Graeme J.			
	WO-WO0217555	02/28/2002	Ford, Warwick			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", <u>7th Annual IEEE Symposium, FCCM '99 Proceedings</u> , XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999),209-221	
		COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001),1-321	
		IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", <u>TDB-ACC-No. NA9112156</u> , Vol. 34, Issue 7A, (12/1/1991),156-158	
		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990),2-19	
		ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00),1-17	

EXAMINER**DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

**UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	Managing Accesses in a Processor for Isolated Execution																									
Submission Type:	Information Disclosure Statement																									
Application Number:	09/540611	*09/540611*																								
EFS ID:	54179																									
Server Response:	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Confirmation Code</th> <th style="width: 80%;">Message</th> </tr> </thead> <tbody> <tr> <td>ISVR1</td> <td>Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application</td> </tr> <tr> <td>ICON1</td> <td>2172</td> </tr> <tr> <td>ISYS5</td> <td>Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.</td> </tr> </tbody> </table>		Confirmation Code	Message	ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application	ICON1	2172	ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.																
Confirmation Code	Message																									
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ICON1	2172																									
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.																									
First Named Applicant:	Carl Ellison																									
Attorney Docket Number:	42P08112																									
Timestamp:	2004-01-23 15:22:43 EDT																									
From:	us																									
File Listing:	<div style="text-align: right; margin-bottom: 5px;">RECEIVED</div> <div style="text-align: right; margin-bottom: 5px;">MAY 11 2004</div> <div style="text-align: right; margin-bottom: 5px;">Technology Center 2100</div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Doc. Name</th> <th style="width: 40%;">File Name</th> <th style="width: 30%;">Size (Bytes)</th> </tr> </thead> <tbody> <tr> <td>us-ids</td> <td>42P08112-usidst.xml</td> <td>15311</td> </tr> <tr> <td>us-ids</td> <td>us-ids.dtd</td> <td>7763</td> </tr> <tr> <td>us-ids</td> <td>us-ids.xsl</td> <td>12026</td> </tr> <tr> <td>package-data</td> <td>42P08112-pkda.xml</td> <td>1781</td> </tr> <tr> <td>package-data</td> <td>package-data.dtd</td> <td>27025</td> </tr> <tr> <td>package-data</td> <td>us-package-data.xsl</td> <td>19263</td> </tr> <tr> <td align="right" colspan="2">Total files size</td> <td>83169</td> </tr> </tbody> </table>		Doc. Name	File Name	Size (Bytes)	us-ids	42P08112-usidst.xml	15311	us-ids	us-ids.dtd	7763	us-ids	us-ids.xsl	12026	package-data	42P08112-pkda.xml	1781	package-data	package-data.dtd	27025	package-data	us-package-data.xsl	19263	Total files size		83169
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us-ids	42P08112-usidst.xml	15311																								
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Digital Certificate Holder Name:	cn=William W. Schaal,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US																									

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Managing Accesses in a Processor for Isolated Execution							
Application Number:	09/540611	*09/540611*						
Confirmation Number:	2172		RECEIVED					
First Named Applicant:	Carl Ellison							
Attorney Docket Number:	42P08112		MAY 11 2004					
Art Unit:	Unknown			Technology Center 2100				
Examiner:	Unknown Unknown							
Search string:	(4162536 or 4247905 or 4276594 or 4307447 or 4319323 or 4347565 or 4571672 or 4759064 or 4795893 or 4825052 or 4907270 or 4907272 or 4910774 or 5007082 or 5139760 or 5317705 or 5319760 or 5434999 or 5437033 or 5442645 or 5459869 or 5504922 or 5511217 or 5522075 or 5528231 or 5533126 or 5564040 or 5566323 or 5582717 or 5606617 or 5720609 or 5721222 or 5737604 or 5796835 or 5825875 or 5854913 or 5867577 or 5900606 or 5901225 or 5903752 or 5970147 or 6061794 or 6075938 or 6092095 or 6115816 or 6173417 or 6182089 or 6212635 or 6222923 or 6252650 or 6269392 or 6272637 or 6282650 or 6308270 or 6314409 or 6330670 or 6357004 or 6363485 or 6374286 or 6374317 or 6378068 or 6378072 or 6389537 or 6397242 or 6412035 or 6421702 or 6435416 or 6445797 or 6463535 or 6463537 or 6507904 or 6535988 or 6557104 or 6633963 or 6633981).pn.							
US Patent Documents								
Note: Applicant is not required to submit a paper copy of cited US Patent Documents								
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	
	1	4162536	1979-07-24	Morley, Richard E.				
	2	4247905	1981-01-27	Yoshida, Yukihiro , et al.		711	166	
	3	4276594	1981-06-30	Morley, Richard E.				
	4	4307447	1981-12-22	Provanzano, Salvatore R., et al.				
	5	4319323	1982-03-09	Ermolovich, Thomas R., et al.				
	6	4347565	1982-08-31	Kaneda, Saburo , et al.				
	7	4571672	1986-02-18	Hatada, Minoru , et al.				
	8	4759064	1988-07-19	Chaum,				
	9	4795893	1989-01-03	Ugon, Michael				
	10	4825052	1989-04-25	Chemin, Francois , et al.				
	11	4907270	1990-03-06	Hazard, Michel				

12	4907272	1990-03-06	Hazard, Michel
13	4910774	1990-03-20	Barakat, Simon
14	5007082	1991-04-09	Cummins, Mary T.
15	5139760	1994-06-07	Mason, Andrew H., et al.
16	5317705	1994-05-31	Gannon, Patrick M., et al.
17	5319760	1994-06-07	Mason, Andrew H., et al.
18	5434999	1995-07-18	Goire, Christian , et al.
19	5437033	1995-07-25	Inoue, Taro , et al.
20	5442645	1995-08-15	Ugon, Michel , et al.
21	5459869	1995-10-17	Spilo, Michael L.
22	5504922	1996-04-02	Seki, Yukihiro , et al.
23	5511217	1996-04-23	Nakajima, Atsushi , et al.
24	5522075	1996-05-28	Robinson, Paul T., et al.
25	5528231	1996-06-18	Patarin, Jacques
26	5533126	1996-07-02	Hazard, Michel , et al.
27	5564040	1996-10-08	Kubals, Jeffrey P.
28	5566323	1996-10-15	Ugon, Michel
29	5582717	1996-12-10	Di Santo, Dennis E.
30	5606617	1997-02-25	Brands, Stefanus A.
31	5720609	1998-02-24	Pfefferle, William C.
32	5721222	1998-02-24	Bernstein, Peter R., et al.
33	5737604	1998-04-07	Miller, David A., et al.
34	5796835	1998-08-18	Saada, Charles
35	5825875	1998-10-20	Ugon, Michel
36	5854913	1998-12-29	Goetz, John W., et al.
37	5867577	1999-02-02	Patarin, Jacques
38	5900606	1999-05-04	Rigal, Vincent
39	5901225	1999-05-04	Ireton, Mark A., et al.
40	5903752	1999-05-11	Dingwall, Thomas J., et al.
41	5970147	1999-10-19	Davis, Derek L., et al.
42	6061794	2000-05-09	Angelo, Michael E.
43	6075938	2000-06-13	Bugnion, Edouard , et al.
44	6092095	2000-07-18	Maytal, Benjamin
45	6115816	2000-09-05	Davis, Derek L.
46	6173417	2001-01-09	Merrill, John W.
47	6182089	2001-01-30	Ganapathy, Narayanan , et al.
48	6212635	2001-04-03	Reardon, David C.
49	6222923	2001-04-24	Schwenk, Joerg

	50'	6252650	2001-06-26	Nakaumra, Kouji
	51	6269392	2001-07-31	Cotichini, Christian , et al.
	52	6272637	2001-08-07	Little, Wendell L., et al.
	53	6282650	2001-08-28	Derek, L. D.
	54	6308270	2001-10-23	Guthery, Scott B., et al.
	55	6314409	2001-11-06	Schneck, Paul B., et al.
	56	6330670	2001-12-11	England, Paul , et al.
	57	6357004	2002-03-12	Davis, Derek L.
	58	6363485	2002-03-26	Adams, Carlisle
	59	6374286	2002-04-16	Gee, John K., et al.
	60	6374317	2002-04-16	Ajanovic, Jasmin , et al.
	61	6378068	2002-04-23	Foster, Mark J.
	62	6378072	2002-04-23	Collins, Thomas , et al.
	63	6389537	2002-05-14	Davis, Derek L., et al.
	64	6397242	2002-05-28	Devine, Scott W., et al.
	65	6412035	2002-06-25	Webber, Victor
	66	6421702	2002-07-16	Gulick, Dale E.
	67	6435416	2002-08-20	Slassi, Tarik
	68	6445797	2002-09-03	McGough, Paul , et al.
	69	6463535	2002-10-08	Drews, Paul C., et al.
	70	6463537	2002-10-08	Tello, Jose A.
	71	6507904	2003-01-14	Ellison, Carl M., et al.
	72	6535988	2003-03-18	Poisner, David L.
	73	6557104	2003-04-29	Vu, Son T., et al.
	74	6633963	2003-10-14	Ellison, Carl M., et al.
	75	6633981	2003-10-14	Davis, Derek L.

713 194

710 105

Remarks

Note: Remarks are not for responding to an office action.

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Electronic Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. Applicants

respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

Signature

Examiner Name	Date